SYSTEM AUDIT TOOL

Performance Appraisal Assessment Tool

Performance Appraisal Assessment Tool

Introduction

Developing a result-oriented performance culture is critical to successfully achieving organizational goals and objectives. One tool Federal managers can use to develop results-oriented performance cultures is their appraisal programs. Appraisal programs provide a formal process for communicating organizational goals and individual performance expectations, promoting accountability for achieving those goals, identifying developmental needs, assessing performance using appropriate measures, improving individual and organizational performance, and using the results of the appraisal as a basis for appropriate personnel actions. Effective appraisal programs are fair, credible, and transparent by providing for the following:

- **Alignment.** Employee performance plans align with and support organizational goals.
- **Results-focus.** Employee performance plans hold employees accountable for achieving results appropriate to their level of responsibility.
- **Credible Measures.** Employee performance plans provide for balance, so that in addition to measuring expected results, the performance plans include appropriate measures, such as quality, quantity, timeliness, and/or cost-effectiveness, indicators of competencies, and customer perspective. In addition, for managers and supervisors, performance plans should also incorporate employee perspective.
- **Distinctions in levels of performance.** The appraisal program provides for multiple levels to appraise performance and rating officials use those levels to clearly describe distinctive levels of performance and appropriately rate employee performance.
- **Consequences.** The result of appraisal is used for recognizing top performers and addressing poor performance.
- **Employee Involvement.** Employees are involved in the design of the appraisal program and in the development of their performance plans.
- **Feedback and Dialogue.** The appraisal program establishes a performance feedback process that ensures a dialogue between supervisors, managers, and employees throughout the year.
- **Training**. The appraisal program requires that executives, managers, supervisors, and employees receive adequate training and retraining on the performance appraisal program. In addition, supervisors must have the competencies necessary for managing performance.
- **Organizational Assessment and Guidance.** The appraisal program requires that appropriate organizational performance assessments are made and communicated to rating officials, and that guidance is provided by the head of the agency or designee on how to incorporate organizational performance into the assessment process, especially regarding the appraisal of managerial and supervisory employees.
- **Oversight and Accountability.** The head of the agency or designee has oversight of the results of appraisals and awards, ensures that the program operates effectively and efficiently, and ensures that appraisals and awards are based on performance. In addition, managers and supervisors are held accountable for the performance management of their subordinates.

As the initiative owner for the Strategic Management of Human Capital, the Office of Personnel Management (OPM) is committed to providing products and technical assistance to help agencies design and operate appraisal programs that support results-focused high-performance cultures. This tool can help agencies assess their appraisal programs' status. By completing the tool, agencies will be able to identify the strengths and weaknesses of their programs and provide the information they need to develop plans and strategies for making any improvements necessary.

<center>**Performance Appraisal Assessment Tool**</center>

Instructions:

Complete this assessment for *each* appraisal program operating within the agency. For example, if an agency has an appraisal system that has 10 appraisal programs operating within that system, an assessment tool must be completed for each program. (See the glossary for definitions of a system and a program.) A copy of the appraisal program description must be attached to the tool. Also include 5 sample non-supervisory performance plans and 2 supervisory plans. These plans should be from the sample the agency reviewed.

This tool addresses appraisal programs that cover General Schedule, Prevailing Rate, and other employees, and excludes programs that cover the Senior Executive Service, the Senior Foreign Service, and the Foreign Service.

A glossary of terms follows these instructions. Following the assessment questions are the scoring sheets. Two scores will be given: the first score will be for the design and implementation of the program. The second score will be for the strategy for improvement of the appraisal program, if it is warranted. The questions in cells shaded light blue are the questions and responses that are covered by the second score. OPM will be completing the scoring sheets and providing the scores to the agency. (If the appraisal program scores above 90 for design and implementation, the agency may not need to develop strategy for improvement and so may not receive the second score.)

If you have questions as you are conducting this assessment, please contact your OPM Human Capital Officer.

Return the completed assessment to your OPM Human Capital Officer by email, or by mail at:

U.S. Office of Personnel Management
Division for Human Capital Leadership
  and Merit System Accountability
1900 E Street, NW, Room 7470
Washington, DC 20415

Glossary

Appraisal means the process under which performance is reviewed and evaluated.

Appraisal period means the established period of time for which performance will be reviewed and a rating of record will be prepared.

Appraisal program means the specific procedures and requirements established under the policies and parameters of an agency appraisal system.

Appraisal system means a framework of policies and parameters established by an agency for the administration of performance appraisal programs.

Critical element means a work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable.

Performance expectation in this document has the same definition as critical element.

Performance plan means all of the written, or otherwise recorded, performance elements that set forth expected performance.

Performance standard means the management-approved expression of the performance threshold(s), requirement(s), or expectations(s) that must be met to be appraised at a particular level of performance.

Progress review means communicating with the employee about performance compared to the performance standards and critical and non-critical elements.

Rating of record means the performance rating prepared at the end of an appraisal period for performance of agency-assigned duties over the entire period and the assignment of a summary level within a pattern (as specified in 5 CFR 430.208(d)) or in accordance with 5 CFR 531.404(a)(1).

Performance Appraisal Assessment Tool

Program Information. *Sections 1 through 5 ask for basic background information about the appraisal program. While this information does not address the effectiveness of the program, it sets the stage for understanding how the program operates. Effectiveness questions are included in sections 6 through 16.*
1. Coverage
a. What department/agency does this appraisal program operate within?
b. What component/organization/bureau/operative within the agency does this program operate within?
c. How many total employees are covered by this appraisal program (including supervisors)?
d. How many managers and supervisors are covered by this appraisal program?
e. What pay plan covers the employees who are covered by this program, that is, General Schedule, Wage Grade, etc.?
f. Who is excluded from this appraisal program?
g. When was this appraisal program implemented? (Month and Year)
2. Appraisal Period
a. What is the length of the appraisal period?
b. What are the beginning and ending months and dates of the appraisal period?
3. Minimum Appraisal Period
a. What is the minimum period of performance that must be completed before a performance rating can be given (e.g., 90 days, 120 days)? (Note: if different groups under this program have different minimum period lengths, identify each group and the length of its minimum period.)
4. Summary Levels
a. How many summary levels does the appraisal program use?
b. List the pattern (ranging from patterns A through H as described in 5 CFR 430 subpart B).
c. List the names of the levels (e.g., Outstanding, Exceeds, Fully Successful, Minimally Successful, Unacceptable).
5. Element Appraisal (Performance Expectations)
a. How many appraisal levels are required for appraising elements?
b. List the names of the levels (e.g., Outstanding, Exceeds, Fully Successful, Minimally Successful, Unacceptable).

Characteristics of an Effective Appraisal Program
6. Alignment *(10 points for design and implementation score)*
6a. Does the program description require that employee performance plans align with organizational goals, such as the specific goals identified in the organization's annual performance plan?   ☐ Yes ☐ No
6b. How many employees have performance plans that align with organizational goals?
i. Describe how many plans were reviewed, how alignment was verified, if sampling was involved, etc. *(See instructions)*
ii. If all your employees are not covered by performance plans that are aligned with organizational goals, what is the agency doing to get those plans aligned with organizational goals? Develop a strategy for improvement and include a timeline for actions. Consider the results of 6c in your response.
6c.   What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses alignment? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
I know how my work relates to the agency's goals and priorities.						
Managers communicate the goals and priorities of the organization.						
Item from agency survey (if applicable)						

7. Results *(10 points for design and implementation score)*
7a. Does the program description require that each employee's performance plan include at least one critical element (performance expectation) that holds the employee accountable for achieving results (at the appropriate level of responsibility)? ☐ Yes ☐ No
7b. How many employees have performance plans with critical elements that make it possible to hold them accountable for results?
7bi. Describe how many plans were reviewed, how results-oriented critical elements were identified, etc. *(See instructions.)*
7bii. If all your employees are not covered by performance plans that include at least one critical element that makes it possible to hold employees accountable for results, what is the agency doing to ensure that performance plans include a critical element that focuses on achieving results? Consider the results of 7c in your response. Include a timeline for actions.
7c. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses results? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
Employees have a feeling of personal empowerment with respect to work processes.						
I am held accountable for achieving results.						
Item from agency survey (if applicable)						

8. Credible Measures   **(Credible measures means that standards include descriptions of quality, quantity, timeliness, cost-effectiveness, and/or manner of performance)**   *(10 points for design and implementation score)*
8a. Does the *appraisal program* require that elements and standards (performance expectations) include credible measures of performance that are observable, measurable, and/or demonstrable?   ☐ Yes ☐ No
8b. How many employees have performance plans that include *credible measures of performance*?
8bi. Describe how many plans were reviewed, how you determined that credible measures were present, the types of measures used, how competencies were identified and described if they are used, etc. *(See instructions.)*
8bii. Provide examples of credible measures of performance used in employee performance plans.
iii. If all your employees do not have performance plans that include credible measures of performance, what is the agency doing to ensure that those plans include credible measures of performance in the future? Consider the results of 8e in your response. Include a timeline for actions.
8c. Does the *appraisal program* require that performance plans for supervisors take into consideration employee and customer perspective?   ☐ Yes ☐ No
8d. How many supervisors have *performance plans* that take into consideration employee and customer perspectives?
8di. Describe how many plans were reviewed, how you determined employee and customer perspectives, the types of measures used, etc. *(See instructions.)*
8dii. Provide examples of employee and customer perspectives that were incorporated in supervisory plans.
8diii. If all your supervisors do not have performance plans that take into account employee and customer perspectives, what is the agency doing to ensure that those plans incorporate employee and customer perspectives in the future? Include a timeline for actions.
8e. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses customer perspective? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
Employees are rewarded for providing high quality products and services to customers.						
Item from agency survey (if applicable)						

9. Differentiate among various levels of performance *(10 points for design and implementation score)*

9a. For the latest appraisal period, show the distribution of ratings:

Performance Rating
Number of Employees Receiving the rating

Performance Rating	Number of Employees Receiving the rating
Level 5 (i.e., Outstanding or equivalent)	
Level 4 (i.e., Exceeds or equivalent)	
Level 3 (i.e., Fully Successful or equivalent)	
Level 2 (i.e., Minimally Successful or equivalent)	
Level 1 (i.e., Unacceptable)	
Not rated	
TOTAL*	

* Total number of employees here should match the total number of employees covered by this program, as reported in #1c.

9b. Compare the results identified in 9c to the rating distribution reported in 9a. In particular, how do the responses to Item #31 in 9c support the rating distribution reported in 9a?

9c. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses levels of performance? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
In my work unit, differences in performance are recognized in a meaningful way.						
Item from agency survey (if applicable)						

10. Consequences based on performance *(10 points for design and implementation score)*

10a. CASH AWARDS – *Provide the following information for the last (most recent) fiscal year or calendar year, whichever is more appropriate for your agency appraisal and award cycle. (Please specify whether you used calendar or fiscal year.) For questions related to rating-based awards, report the awards that were based on the ratings that were reported in 9a above.*

	Number and Cash Amount				
Total number of cash awards given to covered employees					
Total dollar amount of cash awards given to covered employees					
*Number of cash awards based on assigned rating of record	Rated Level 5	Rated Level 4	Rated Level 3	Rated Level 2	Rated Level 1
*Amount of cash awards based on assigned rating of record					
*Number of cash awards *not* based on rating of record					
*Amount of cash awards *not* based on rating of record					

*If your agency no longer tracks rating-based awards separately from other types of awards, respond "N/A" for information not available.

10b. TIME OFF AWARDS – *Provide the following information for the last (most recent) fiscal year or calendar year, whichever is more appropriate for your agency appraisal and award cycle. (Please specify whether you used calendar or fiscal year.) For questions related to rating-based awards, report the awards that were based on the ratings that were reported in 9a above*

	Number of awards and hours				
Total number of time off awards granted					
Total number of hours of time off granted					
*Number of time off awards based on assigned rating of record	Rated Level 5	Rated Level 4	Rated Level 3	Rated Level 2	Rated Level 1
*Number of hours of time off granted based on assigned rating of record					
*Number of time off awards *not* based on rating of record					
*Number of hours of time off granted *not* based on rating of record					

*If your agency does not track rating-based time-off awards separately from other types of time-off awards, respond "N/A" for information not available.

10c. **QUALITY STEP INCREASES (QSI)** – *Provide the following information for the last (most recent) fiscal year or calendar year, whichever is more appropriate for your agency*

appraisal and award cycle. (Please specify whether you used calendar or fiscal year.)

	Number of awards				
Total QSI awards given as a result of last rating of record	Rated Level 5	Rated Level 4	Rated Level 3	Rated Level 2	Rated Level 1

i. Analyze the results identified in 10a, 10b, and 10c and consider the survey results in 10d. Does your awards program support organizational goal achievement and make distinctions in levels of performance? Identify any findings, relationships, or other information that may be helpful for your organization when providing consequences for performance.

10d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses consequences of performance? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
Awards in my work unit depend on how well employees perform their jobs.						
How satisfied are you with the recognition you receive for doing a good job?						
Item from agency survey (if applicable)						

10e. UNACCEPTABLE PERFORMANCE

(unacceptable performance on a critical element) *Provide the following information for the last (most recent) appraisal period. Use the same time period used to answer 9 above.*

	Number
Employees rated "Unacceptable"	
Employees placed on Performance Improvement Period (PIP) as a result of unacceptable performance	
Employees removed based on unacceptable performance (i.e., a performance-based or adverse action)	
Employees reassigned based on unacceptable performance (i.e., a performance-based or adverse action)	
Employees who were reduced in grade based on unacceptable performance (i.e., a performance-based or adverse action)	

10ei. Analyze the results identified in 10e and compare it to the survey responses in 10f. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program and the efforts to address poor performance.

10f. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses consequences for poor performance? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.						
Item from agency survey (if applicable)						

11. Employee Involvement *(10 points for design and implementation score)*

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11a. Was the appraisal program designed with input from employees and their representatives, if applicable?   ☐ Yes ☐ No
11ai.. If *yes*, describe the process.
11aii. If *no*, describe why.
11b. Does the appraisal program require employee involvement in the development of the employee's performance plan?   ☐ Yes ☐ No
11bi. If *yes*, describe the process.
11bii. If *no,* describe why.
11c. Were employees actually involved in the development of their performance plans?   ☐ Yes ☐ No
11ci. If *yes,* describe how this occurred.
11cii. If *no*, describe why.
11ciii. Analyze the results identified in 11a, 11b, and 11c and compare it to the survey responses in 11d. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program and the efforts of the organization to involve employees in the performance appraisal process.

11d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses consequences employee involvement? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Very Satisfied	Satisfied	Neither Satisfied nor dissatisfied	Dissatisfied	Very Dissatisfied
How satisfied are you with your involvement in decisions that affect your work?					
Item from agency survey (if applicable)					

12. Feedback Process *(10 points for design and implementation score)*
12a. Does the appraisal program require that employees receive a progress review on their performance (that is, feedback) at least once during the appraisal period? □ Yes □ No
12b. Approximately how many employees received a progress review?
12c. How do you track whether employees receive a progress review?
i. Analyze the results identified in 12b and 12c and compare it to the survey responses in 12d. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program to ensure it provides for adequate employee feedback.
12d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses feedback discussion with supervisors? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
Discussions with my supervisor/team leader about my performance are worthwhile.						
Supervisors/team leaders provide employees with constructive suggestions to improve their job performance.						
Item from agency survey (if applicable)						

13. Training and Competency Development *(10 points for design and implementation score)*
13a. Does the appraisal program description require that supervisors receive training and retraining on the requirements and operation of the performance appraisal program? ☐ Yes ☐ No
13b. Has the agency conducted training for at least 50 percent of its supervisors on the performance appraisal program sometime during the last 2 years? ☐ Yes ☐ No
13bi. If *yes*, describe the training, how many attended, the content of the course, and any other information that would show adequate training was provided.
13bii. If fewer than 50 percent of supervisors were trained on performance management in the last 2 years, what is the agency doing to ensure that supervisors receive training in the future? Include a timeline for actions.
13c. Does the *appraisal program* description require that employees receive training and retraining on the requirements and operation of the performance appraisal program? ☐ Yes ☐ No
13d. Has the agency conducted training for at least 50 percent of employees on the performance appraisal program sometime during the last 2 years? ☐ Yes ☐ No
13di. If *yes*, describe the training, how many attended, the content of the course, and any other information that would show adequate training was provided.
13dii. If fewer than 50 percent of employees attended performance appraisal training in the last 2 years, what is the agency doing to ensure that employees receive training in the future? Include a timeline for actions.
13e. When a supervisor performs poorly on the required supervisory element (see Oversight and Accountability section), what action has the agency taken to improve the supervisor's performance management competencies (that is, interpersonal communication, leading people, setting goals, performance measurement, business acumen, appraising performance, recognition)
13f. Describe the agency's competency development activities for supervisors.
13g. What were the results to the **supervisors and managers** responses to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses training and competency development? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
I am given a real opportunity to improve my skills in my organization.						
Item from agency survey (if applicable)						

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14. Assessment and Guidance *(10 points for design and implementation score)*

14a. Does the agency assess organizational unit performance?

☐ Yes ☐ No

14ai. If *yes*, explain how unit performance is assessed (e.g., using PAR, PART, or some other assessment tool). Provide an example of the assessment tool, if applicable.

14aii. If *yes*, explain how organizational unit performance was communicated throughout the organization.

14aiii. If *no*, that is, if the agency does not assess organizational unit performance, what is the agency doing to ensure that unit performance is assessed and communicated in the future? Include a timeline for actions.

14b. Did an agency official provide guidance to rating officials about how unit performance should be considered when deciding ratings and awards?

☐ Yes ☐ No

14bi. If *yes*, either describe the guidance or provide a copy.

14bii. If *no*, what is the agency doing to ensure that guidance is given about ratings and work unit performance in the future? Include a timeline for actions.

14c. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey question that addresses organizational assessment? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
Managers review and evaluate the organization's progress toward meeting						

its goals and objectives.						
Item from agency survey (if applicable)						

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15. Oversight and Accountability *(10 points for design and implementation score)*
15a. Do the performance plans of supervisors include a critical element (performance expectation) that holds the supervisors accountable for the performance management of subordinates, that is, the agency holds supervisors responsible for ensuring that subordinate performance plans are aligned with organizational goals and for the degree of rigor the supervisor demonstrates in the appraisal of subordinates?   ☐ Yes ☐ No
15ai. If *yes*, how many supervisors have this element included in their performance plans?
15aii. If *no*, what is the agency doing to ensure that in the future all supervisors are held accountable for the performance management of subordinates? Include a timeline for actions.
15b. Was this program approved by the agency head or designee before it was implemented?   ☐ Yes ☐ No
15bi. If *yes*, provide the title of the designee if the agency head was not the approver.
15bii. Describe the process used for obtaining approval for implementing the program within the agency.
15c. Is there a high-level agency official who has oversight of the results of appraisals and awards under this program?   ☐ Yes ☐ No
15ci. If *yes*, provide the title of the official.
15cii. If *no*, what is the agency doing to ensure that in the future a high-level agency official will oversee the results of appraisals and awards under this program? Include a timeline for actions.
15d. Has this program been evaluated by the agency within the last 3 years to determine compliance and effectiveness?   ☐ Yes ☐ No
15di. If *yes*, when?
15dii. If *yes*, what were the results? (Provide a copy of the report.)
15diii. If *no*, that is, if the agency has not evaluated the appraisal program within the last 3 years, what is the agency doing to ensure that in the future regular evaluations of the program

will occur? Include a timeline for actions.
15e. Does the rating distribution of employees reflect organizational unit performance, that is, is there a relationship between the ratings of employees and the performance of the unit? ☐ Yes ☐ No
15ei. If *yes*, explain.
15eii. If *no*, what actions is the agency taking to ensure that rating distributions in the future reflect unit performance?

16. Purpose of Performance Management *(100 points for strategy for improvement)*

a. What were the results to the following 2004 Federal Human Capital Survey question that addresses organizational assessment? Be sure to consider survey results when developing strategies for improving your appraisal program. *(Include this information if you are able to isolate the data for only those employees covered by this appraisal program. Otherwise, respond "N/A" for not available. If your organization conducts its own employee survey and has similar questions with results, include the applicable question(s) and results here.)*

FHCS Question	Strongly Agree	Agree	Neither agree or disagree	Disagree	Strongly Disagree	Do not know
My performance appraisal is a fair reflection of my performance.						
Item from agency survey (if applicable)						

b. Do you feel this appraisal program helps the organization achieve its goals? (The response to all of 16b is to be approved by the person that has oversight responsibility for the program, as identified in 15c.)

☐ Yes ☐ No

i. If *yes*, explain.

ii. If *no*, what is the agency doing to the design or operation of its program to improve program effectiveness at helping employees achieve organizational goals? Note: This answer should be the summarizing plan for how the agency intends to improve its performance appraisal program. Include all the answers from previous sections that address improvement actions.

Scoring Sheets

Score 1: Design and Implementation

Because the characteristics of effective appraisal programs that have been assessed using this tool are each as important as the others, each characteristic has been weighted the same for scoring purposes. Sections 6 through 15 are scored 10 points each. The scoring scheme follows:

Characteristics of Effective Performance Appraisal Programs	Question *(abbreviated)*	Points Available *(Total Points add to 100)*
Alignment	6a. Program requires alignment.	1
	6b. Number of employees with aligned plans.	3
	6bi. Describe methodology and verification.	4
	6c. Survey results	2
Results-Focused	7a. Program requires results-focused elements.	1
	7b. Number of employees with results-focused plans.	3
	7bi. Describe methodology and verification.	4
	7c. Survey results.	2
Balanced, Credible Measures	8a. Program requires balanced, credible measures.	1
	8b. Number of employees plans including measures.	1
	8bi. Describe methodology and verification.	1
	8bii. Provide examples.	1
	8c. Program requires supervisory plans include measures of customer and employee perspective.	1
	8d. Number of supervisors that have customer/employee perspectives in plans.	1
	8di. Describe methodology and verification.	1
	8dii. Provide examples.	1
	8e. Survey results.	2
Distinctions in levels of performance	9a. Rating distribution	8
	9c. Survey results.	2
Consequences	10a. Cash awards	2
	10b. Time-off awards	1
	10c. Quality step increases	1
	10d. Survey results	2
	10e. Addressing unacceptable performance.	2
	10f. Survey results.	2
Employee Involvement	11a. Employees involved in program design.	2
	11b. Program requires employee involvement.	2
	11c. Employee involved in developing performance plans.	4
	11d.Survey results.	2

Feedback	12a. Program requires progress review.	1
	12b. Number of employees who received a progress review.	3
	12c. Tracking progress reviews.	4
	12d. Survey results.	2
Training	13a. Program requires training of supervisors.	1
	13b and bi. Number of supervisors trained on program and details of training.	1
	13c. Program requires training of employees	1
	13d. Number of employees trained on program.	1
	13di. Details of training.	1
	13e. Addressing poor supervisory performance	1
	13f. Supervisory competency development	2
	13g. Survey results	2
Organizational Assessment and Guidance	14a. Assesses organizational unit performance.	1
	14ai. Describe the methodology for assessment.	2
	14aii. Assessment results communicated to employees.	2
	14b. Guidance provided to rating officials.	1
	14bi. Describe guidance.	2
	14c. Survey results.	2
Oversight and Accountability	15a. Supervisors held accountable for the performance management of subordinates.	2
	15b. Program approved by agency head or designee.	2
	15c. Official with oversight.	2
	15d. Program previously evaluated.	2
	15e. Rating distribution reflects organizational performance.	2
Total Points		100

Rating:

Rating	Point Total
Effectiveness Characteristics Present*	85-100
Effectiveness Characteristics Present but Not as Strong as Could Be*	70-84
Characteristics Adequately Present But Many Weaknesses Identified*	50-69
Characteristics Not Adequately Present	0-49

*The program can be scored at this level as long as each section scores at least 2 points.
If a section scores 0 points, the program does not adequately meet requirements.

Score 2: Strategy for Improvement

Section 16 asks the agency to summarize and coordinate its plans for improving its appraisal program. This will include pulling together the responses from several questions in Sections 6 through 15 (the cells of those questions were shaded in blue). The questions to be scored for strategy for improvement and the points available for each are:

Characteristics of Effective Performance Appraisal Programs	Question	Points Available *(Total Points add to 100)*
Alignment	6bii If all your employees are not covered by performance plans that are aligned with organizational goals, what is the agency doing to get those plans aligned with organizational goals? Develop a strategy for improvement and include a timeline for actions. Consider the results of 6c in your response.	5
Results-Focused	7bii. If all your employees are not covered by performance plans that include at least one critical element makes it possible to hold employees accountable for results, what is the agency doing to ensure that performance plans include a critical element that focuses on achieving results? Consider the results of 7c in your response. Include a timeline for actions.	5
Balanced, Credible Measures	8ciii. If all your employees do not have performance plans that include credible measures of performance, what is the agency doing to ensure that those plans include credible measures of performance in the future? Consider the results of 8e in your response. Include a timeline for actions.	3
	8diii. If all your supervisors do not have performance plans that take into account employee and customer perspectives, what is the agency doing to ensure that those plans incorporate employee and customer perspectives in the future? Include a timeline for actions.	3
Distinctions in levels of performance	9b. Compare the results identified in 9b to the rating distribution reported in 9a. In particular, how do the responses to Item #31 in 9b support the rating distribution reported in 9a?	3
Consequences	10di. Compare the results identified in 10a, 10b, and 10c to the results in the Items in 10d. Identify any findings, relationships, or other information that may be helpful for your organization when providing	3

	consequences for performance.	
	10ei. Analyze the results identified in 10e and compare it to the survey responses in 10f. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program and the efforts to address poor performance.	3
Employee Involvement	11ciii. Analyze the results identified in 11a, 11b, and 11c and compare it to the survey responses in 11d. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program and the efforts of the organization to involve employees in the performance appraisal process.	3
Feedback	12ci. Analyze the results identified in 12b and 12c and compare it to the survey responses in 12d. Identify any findings, relationships, or other information that may be helpful for your organization when or if you revise your appraisal program to ensure it provides for adequate employee feedback.	3
Training	13bii. If fewer than 50 percent of supervisors were trained on performance management in the last 2 years, what is the agency doing to ensure that supervisors receive training in the future? Include a timeline for actions.	3
	13dii. If fewer than 50 percent of employees attended training in the last 2 years, what is the agency doing to ensure that employees receive training in the future? Include a timeline for actions.	3
Organizational Assessment and Guidance	14aiii. If *no*, that is, if the agency does not assess organizational unit performance, what is the agency doing to ensure that unit performance is assessed and communicated in the future? Include a timeline for actions.	3
	14bii. If *no*, what is the agency doing to ensure that guidance is given about ratings and work unit performance in the future? Include a timeline for actions.	3
Oversight and Accountability	15aii. If *no*, what is the agency doing to ensure that in the future all supervisors are held accountable for the performance management of subordinates? Include a timeline for actions.	2
	15cii. If *no*, what is the agency doing to ensure that in the future a high-level agency official will oversee the results of appraisals and awards under this program? Include a timeline for actions.	2

	15dii. If *no*, that is, if the agency has not evaluated the appraisal program within the last 3 years, what is the agency doing to ensure that in the future regular evaluations of the program will occur? Include a timeline for actions.	2
	15eii. If *no*, what actions is the agency taking to ensure that rating distributions in the future reflect unit performance?	2
Overall Strategy for Improvement	16bii. If *no*, what is the agency doing to the design or operation of its program to improve program effectiveness at helping employees achieve organizational goals? Note: This answer should be the summarizing plan for how the agency intends to improve its performance appraisal program. Include all the answers from previous sections that address improvement actions.	49
Total Points		100

Rating:

Rating	Point Total
Effective Strategy	85-100
Effective Strategy but has some weaknesses	70-84
Adequate Strategy	50-69
Inadequate Strategy	0-49